

TRANSMITTAL (Original Corp. License App.)

RE 201A (Rev. 7/98)

GENERAL INFORMATION

- ✓ Read Corporate License Instructions (RE 218) carefully.
- ✓ Items to be included in your packet are listed below. Check off each item as you assemble your packet.
- ✓ Attach this transmittal to the top of all required documents before submitting to the Department.
- ✓ The following forms are referenced by name and/or number:

RE 201	Corporation License Application
RE 203	Branch Office Application
RE 206	Examination & Licensing Fees
RE 212	Corporation Background Statement

NEW CORPORATION**Required Documents**

- ☐ RE 201 — Completed by and submitted for each officer applying for an officer license.
- ☐ RE 212 — Regulation 2746 requires the designated officer who obtains the original corporation license to file a corporation background statement for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than 10% of the corporation's shares, if such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is *not* needed. In all instances, the broker-officer must complete and sign the attached certification (Section III of application). (See reverse for text of Regulation 2746.)
- ☐ Certificate of Status — A Certificate of Status from the California Secretary of State filed within 30 days from the date the application is submitted to our office. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the articles were filed with the Secretary of State within 6 months preceding the date the application is submitted to our office.
- ☐ License fee (Refer to RE 206 for current fees) — Required for each officer license being applied for.

Additional Documents Which May be Necessary

- ☐ Fictitious Business Name Statement — This item is needed if the corporation will conduct business under a fictitious business name. The fictitious business name

must be filed with the county clerk listing the corporation as registrant.

- ☐ RE 203 — A branch office license is required for each additional location from which the corporation will conduct business.
- ☐ Documentation regarding litigation or convictions referred to in RE 212 or RE 201.
- ☐ Approved continuing education completed within previous 4 years, if designated officer applicant does not hold an individual broker license.

**EXISTING CORPORATION
NEW/CHANGE OF OFFICERS****Change of Designated Officer**

- ☐ RE 201 — Completed by and submitted for new incoming designated officer.
- ☐ RE 212 — Any corporation licensed after June 30, 1990 which became subject to the provisions of Regulation 2746 is required to file an RE 212 whenever there is an addition or a change in corporation officers or a natural person owning or controlling more than ten percent of the corporation shares *if* such a person has been subject of any of the items enumerated in the regulation.
- ☐ Letter of resignation from former designated broker-officer or corporate resolution removing that individual from the employ of the corporation.
- ☐ License fee (Refer to RE 206 for current fees) — Fee will only be required if the former designated officer is remaining as a licensed officer of the corporation. If the current designated broker-officer is being replaced, a fee is not required. The incoming broker-officer will receive the balance of the license term.

Adding an Additional Licensed Officer

- ☐ RE 201
- ☐ RE 212 — Refer to "RE 212" under "Change of Designated Officer."
- ☐ License fee (Refer to RE 206 for current fees)

Note: A late fee must be submitted if an officer substitution is requested and the corporation license has expired or if the new designated broker does not have current valid broker license status. If an additional officer license is requested, a fee (equal to the late fee) must be submitted if the additional officer applicant does not have current valid broker license status.

2746. Corporate Real Estate Brokers, Officers, Directors and Shareholders.

- (a) At the time of application for, or in the reinstatement of, an original real estate broker license, the designated officer shall file a background statement of information for each director, the chief executive officer, the president, first level vice presidents, secretary, chief financial officer, subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, if such person has been the subject of any of the following:
 - (1) Received an order or judgment issued by a court or governmental agency during the preceding 10 years temporarily or permanently restraining or enjoining any business conduct, practice or employment;
 - (2) Has had a license to engage in or practice real estate or other regulated profession, occupation or vocation denied, suspended, or revoked during the preceding 10 years;
 - (3) Engaged in acts requiring a real estate license of any state without the benefit of a valid license or permit authorizing that conduct during the preceding 10 years which have been enjoined by a court of law or administrative tribunal;
 - (4) Been convicted of a crime which is substantially related to the qualifications, functions or duties of a licensee of the Department as specified in Section 2910 of these Regulations (excluding drunk driving, reckless driving and speeding violations).
- (b) The background statement shall be set forth in DRE Form 212 and shall inquire only about the information to be disclosed pursuant to subdivision (a). The background statement must be verified and completed by each corporate officer, director or stockholder as named in subdivision (a) to the fullest extent of the signatory's actual knowledge.
- (c) Whenever there is a change in the persons whose background statements are required to be on file with the Department for a corporate licensee pursuant to subdivision (a) or an addition to the persons required to file statements pursuant to subdivision (a), the designated officer of the corporation shall, within 30 days thereafter, file with the Department a background statement of information for each new or changed person.

CORPORATION LICENSE APPLICATION

RE 201 (Rev. 4/12)

DRE RECEIVED DATE

GENERAL INFORMATION

➤ *This application may be used to license:*

- A corporation with a designated broker-officer,
- An additional broker-officer with a new or currently licensed corporation, OR
- A new officer as a substitute (replacement) for the existing designated broker-officer.

➤ **Read Sections III and IV before completing this application.**

➤ This application must be completed and signed by the *broker-officer applicant*.

- A Certificate of Status or Articles of Incorporation and the appropriate fee **must** accompany this form. Refer to Section IV.
- Any changes (addresses, DBA, etc.) to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A).

SECTION I — CORPORATION INFORMATION

1A. DOES THIS CORPORATION CURRENTLY HOLD OR HAS IT PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

☐ NO ☐ YES IF YES, COMPLETE ITEMS 1B AND 1C.

1B. CORPORATION LICENSE NUMBER

1C. EXPIRATION DATE

DRE USE ONLY

2A. CORPORATION NAME (PRINT NAME AS IT APPEARS ON CERTIFICATE OF STATUS, DO NOT LIST FICTITIOUS BUSINESS NAMES.)

2B. CALIFORNIA SECRETARY OF STATE IDENTIFICATION NUMBER (REFER TO PAGE 4)

2C. FEDERAL TAXPAYER IDENTIFICATION NUMBER (REQUIRED-SEE PRIVACY NOTICE)

3A. MAILING ADDRESS (STREET ADDRESS OR POST OFFICE BOX)

3B. CITY

3C. STATE

3D. ZIP CODE

4A. MAIN OFFICE ADDRESS (STREET ADDRESS - MUST BE A PHYSICAL ADDRESS)

4B. CITY

4C. STATE

CA

4D. ZIP CODE

5. FICTITIOUS BUSINESS NAME (IF ANY) – ATTACH A COPY OF THE FICTITIOUS BUSINESS NAME STATEMENT AS FILED WITH THE COUNTY CLERK.

SECTION II — BROKER-OFFICER INFORMATION

1A. DO YOU CURRENTLY HOLD OR HAVE YOU PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

☐ NO ☐ YES IF YES, COMPLETE ITEMS 1B -1D.

1B. LICENSE IDENTIFICATION NUMBER

1C. TYPE OF LICENSE

1D. EXPIRATION DATE OF LICENSE

2. NAME OF BROKER-OFFICER (LAST, FIRST & MIDDLE)

3. SOCIAL SECURITY NUMBER (**REQUIRED**-SEE PRIVACY NOTICE)

4. BIRTH DATE (MM/DD/YYYY)

5. CORPORATE OFFICER TITLE

6. TYPE OF BROKER-OFFICER LICENSE REQUESTED: (CHECK ONE) REFER TO FEE SECTION ON PAGE 4.

- ☐ DESIGNATED BROKER-OFFICER ☐ ADDITIONAL BROKER-OFFICER (**Refer to Fees.**)
☐ SUBSTITUTION OF CURRENT DESIGNATED BROKER-OFFICER (**Refer to page 4, Section II Instructions, #6.**)

DRE USE ONLY

RESTRICTED LICENSE

- ☐ CORPORATION
☐ OFFICER

FINGERPRINTS

- ☐ RECEIVED
☐ NOT NEEDED

FLAG CLEARANCE

VIOLATIONS

CLEARANCE REC'D

- ☐ DOJ
☐ FBI

RAP REC'D

- ☐ DOJ
☐ FBI

NOTES

EXAM ID NUMBER

PROCESSOR # & DATE PROCESSED

LICENSE EFFECTIVE DATE

LICENSE EXPIRATION DATE

SECTION II — BROKER-OFFICER INFORMATION (CONTINUED)

7. DO YOU RESIDE IN THE STATE OF CALIFORNIA?

☐ NO ☐ YES IF NO, THEN A CONSENT TO SERVICE OF PROCESS (RE 234) MUST ALSO BE COMPLETED. (Refer to #8 instruction on page 4.)

8. BUSINESS TELEPHONE NUMBER (DO NOT LIST FAX NUMBERS.) - REQUIRED

()

9. RESIDENCE TELEPHONE NUMBER - REQUIRED

()

10. CELL PHONE NUMBER - REQUIRED

()

11. EMAIL ADDRESS

12. HAVE YOU EVER USED ANY OTHER NAMES (i.e., MAIDEN NAME, AKA, ETC.)?

☐ NO ☐ YES IF YES, LIST NAMES USED.

13. HEIGHT

14. WEIGHT

15. COLOR OF EYES

16. COLOR OF HAIR

17. GENDER

☐ MALE ☐ FEMALE

BACKGROUND INFORMATION

Carefully read and provide detailed answers to questions 18-24. You must provide a "yes" or "no" response to all questions, and also completely and accurately provide the detailed information required in item(s) 25 and 26 below. Attach additional sheets if you need more space. Failure to disclose pertinent information may result in denial of your license application and/or delays.

18. HAVE YOU EVER BEEN CONVICTED OF ANY VIOLATION OF THE LAW? ALL STATE AND FEDERAL MISDEMEANOR AND FELONY CONVICTIONS, AND ALL MILITARY AND FOREIGN CONVICTIONS, MUST BE DISCLOSED. CONVICTIONS EXPUNGED UNDER PENAL CODE SECTION 1203.4 OR A SIMILAR STATUTE MUST STILL BE DISCLOSED. IF YES, COMPLETE ITEM 25.....

☐ YES☐ NO

19. ARE THERE CRIMINAL CHARGES PENDING AGAINST YOU AT THIS TIME? IF YES, COMPLETE ITEM 25.....

☐ YES☐ NO

20. HAVE YOU EVER HAD A DENIED, SUSPENDED, RESTRICTED OR REVOKED BUSINESS OR PROFESSIONAL LICENSE (INCLUDING REAL ESTATE), IN CALIFORNIA OR ANY OTHER STATE? IF YES, COMPLETE ITEM 26.....

☐ YES☐ NO

21. ARE THERE ANY LICENSE DISCIPLINARY ACTIONS PENDING AGAINST A BUSINESS OR PROFESSIONAL LICENSE YOU HOLD AT THIS TIME? IF YES, COMPLETE ITEM 26.....

☐ YES☐ NO

22. HAVE YOU EVER BEEN REQUIRED TO REGISTER AS A SEX OFFENDER PURSUANT TO THE PROVISIONS OF SECTION 290 OF THE CALIFORNIA PENAL CODE OR ANY COMPARABLE LAW OF ANY STATE OR GOVERNMENTAL UNIT? IF YES, COMPLETE ITEM 25.....

☐ YES☐ NO

23. HAVE YOU EVER BEEN ORDERED TO CEASE, DESIST AND/OR REFRAIN FROM DOING AN ACT(S), OR FROM VIOLATING A LAW, RULE OR REGULATION BY, OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT, BY AN ADMINISTRATIVE AGENCY OR PROFESSIONAL ASSOCIATION IN CALIFORNIA OR ANY OTHER STATE? IF YES, COMPLETE ITEM 27.....

☐ YES☐ NO

24. HAVE YOU EVER PLED GUILTY TO OR ENTERED A PLEA OF NOLO CONTENDERE OR A NO CONTEST PLEA TO ANY VIOLATION OF LAW IN A STATE, MILITARY, OR FEDERAL COURT? IF YES, COMPLETE ITEM 25.....

☐ YES☐ NO

CONVICTION DETAILS

"Convicted" as used in Item 18 includes a verdict of guilty by judge or jury, a plea of guilty, a plea of nolo contendere (i.e., "no contest"), or a forfeiture of bail in the courts (including military courts) of any state, commonwealth, possession or country. All convictions must be disclosed, no matter how long ago they occurred, even if the plea or verdict was set aside, the conviction dismissed or expunged, or you have been pardoned. Convictions occurring while you were a minor (under 18 years of age) must be disclosed unless the record of the conviction has been sealed under Section 1203.45 of the California Penal Code or Section 781 of the California Welfare and Institutions Code.

25. DETAILED EXPLANATION OF ITEM 18, 19, 22 AND/OR 24 .

COMPLETE ONE LINE FOR EACH VIOLATION AND PROVIDE EXPLANATION BELOW. IF YOU ARE UNABLE TO PROVIDE THIS INFORMATION, PROVIDE ALL THE REQUESTED INFORMATION YOU CAN OBTAIN, WITH AN EXPLANATION FOR THE MISSING INFORMATION. IF THE CONVICTION STATUS HAS BEEN SUBSEQUENTLY CHANGED OR REDUCED, NOTE THAT FACT IN THE AREA PROVIDED FOR ADDITIONAL INFORMATION.

ATTACHMENTS FOR ADDITIONAL INFORMATION: SPECIFY WHICH LINES YOU ARE REFERRING TO. **EACH ADDITIONAL SHEET MUST BE SIGNED BY APPLICANT.**

* CODE SECTION VIOLATED (i.e., 1014, 484, ETC.) **CODE VIOLATED (i.e., U.S. CODE, PENAL CODE, ETC.) ***DISPOSITION (i.e., PROBATION, PAROLE, FINE, LENGTH OF TERM,

COURT OF CONVICTION (Name and Address)	ARRESTING AGENCY (Name and Address)	DATE OF CONVICTION	TYPE OF CONVICTION	* CODE SECTION VIOLATED	** CODE VIOLATED	*** DISPOSITION	CASE NUMBER
Example: Sacramento Cnty. 456 Main St., Sac	Sacramento City Police 123 Main St., Sac	2/20/87	<input type="checkbox"/> Felony <input checked="" type="checkbox"/> Misdemeanor	484	Penal Code	6 months probation and \$200 fine	1234
25A.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
25B.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
25C.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				

26. DETAILED EXPLANATION OF ITEM 20, 21 AND/OR 23. IF NEEDED, EXPLANATION MAY BE PROVIDED BELOW.

26A. TYPE OF LICENSE	26B. LICENSE ID NO.	26C. LICENSE EXPIRATION DATE	26D. STATE
26E. ACTION (revoked, etc.)	26F. DATE OF ACTION	26G. DATE ACTION TERMINATED	26H. CODE SECTION VIOLATED

27. ADDITIONAL INFORMATION: SPECIFY WHICH LINES YOU ARE REFERRING TO. (ATTACH EXTRA SHEETS IF MORE ROOM IS NEEDED. **EACH ADDITIONAL SHEET MUST BE SIGNED BY APPLICANT.**)

➤ **Note: Broker-Officer Applicant should review pages 1 and 2 of this document prior to proceeding.**

OFFICER CERTIFICATION

I certify under penalty of perjury that I am an official corporate officer, and that the answers and statements given in this application are true and correct. I also certify that when the license is issued I will be 18 years of age or older, and that if licensed I will not violate any provisions of the Real Estate Law nor abuse the privileges of a real estate licensee. I understand that the license issued upon this application entitles the applicant to act only for this corporation and not in an individual capacity. I understand that if I fail to qualify for a license for any reason or withdraw this application, the Department of Real Estate **cannot refund the fees** remitted with this application.

I hereby grant to the Real Estate Commissioner of the State of California and his authorized Department of Real Estate representatives, pursuant to Business and Professions Code 10145 and 10146, the authority to examine the financial records of any trust fund account maintained by this corporation in a financial institution, wherever located, for any period of time in which I hold a real estate license or have the right to renewal of such real estate license or which relates to a transaction which occurred when I held such a real estate license. I understand that the information to be obtained from the financial records of the corporation trust fund account(s) is for the purpose of aiding the Commissioner in his statutory duty to enforce the provisions of the Real Estate Law.

I am aware of the provisions of Section 3700 of the Labor Code which requires every employer to be insured against liability for workers' compensation.

28. SIGNATURE OF BROKER-OFFICER APPLICANT (MUST BE ORIGINAL SIGNATURE)

29. DATE

30. TYPED NAME OF SIGNER

SECTION III — REGULATION 2746

Corporate Real Estate Brokers, Officers, Directors and Shareholders

- (a) At the time of application for, or in the reinstatement of, an original real estate broker license, the designated officer shall file a background statement of information for each director, the chief executive officer, the president, first level vice presidents, secretary, chief financial officer, subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, if such person has been the subject of any of the following:
- (1) Received an order or judgment issued by a court or governmental agency during the preceding 10 years temporarily or permanently restraining or enjoining any business conduct, practice or employment;
 - (2) Has had a license to engage in or practice real estate or other regulated profession, occupation or vocation denied, suspended or revoked during the preceding 10 years;
 - (3) Engaged in acts requiring a real estate license of any state without the benefit of a valid license or permit authorizing that conduct during the preceding 10 years which have been enjoined by a court of law or administrative tribunal;
 - (4) Been convicted of a crime which is substantially related to the qualifications, functions or duties of a licensee of the Department as specified in Section 2910 of these Regulations (excluding drunk driving, reckless driving and speeding violations).
- (b) The background statement shall be set forth in DRE Form 212 and shall inquire only about the information to be disclosed pursuant to subdivision (a). The background statement must be verified and completed by each corporate officer, director or stockholder as named in subdivision (a) to the fullest extent of the signatory's actual knowledge.
- (c) Whenever there is a change in the person whose background statements are required to be on file with the Department for a corporate licensee pursuant to subdivision (a) or an addition to the persons required to file statements pursuant to subdivision (a), the designated officer of the corporation shall, within 30 days thereafter file with the Department a background statement of information for each new or changed person.

Note: Authority cited: Section 10080, Business and Professions Code. Reference: Section 10152, Business and Professions Code.

CERTIFICATION

I certify that I have read and understand the provisions described above. (NOTE: Failure to check one of the boxes below will delay the processing of your license application).

- ☐ I also certify that a Corporation Background Statement (RE 212) is not needed for any officers or persons owning or controlling more than ten percent of the corporation shares including myself.
- ☐ **A completed Corporation Background Statement(s) (RE 212) is attached** for each officer, director or shareholder with a reportable item under Regulation 2746.

31. CORPORATE NAME

32. SIGNATURE OF BROKER-OFFICER APPLICANT

33. DATE

SECTION IV — READ AND RETAIN FOR FUTURE REFERENCE

GENERAL INFORMATION

- Complete all information in Sections I and II according to the instructions.
- Type or print clearly in ink. *Penciled applications will be returned.*

Filing Period — Unless currently licensed either as a real estate broker or as a real estate broker-officer, your application and license fee are to be filed within one year from the date you successfully completed your examination. (Section 10201.6 of the Business and Professions Code.)

Certificate of Status — A corporation not currently licensed by this Department must include a Certificate of Status from the California Secretary of State. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the Articles were filed with the Secretary of State within six months preceding the date the application is submitted to our office. If the firm is not incorporated in California, either a Certificate of Qualification or Certificate of Foreign Corporation from the California Secretary of State is required. If a Certificate of Status, Certificate of Qualification, or Certificate of Foreign Corporation is submitted, the certificate must be executed no more than thirty days prior to the date the application is submitted to our office.

Corporation Background Statement (RE 212) — Regulation 2746 requires the designated officer who obtains the original corporation license to file an RE 212 for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, **IF** such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is not needed. **In all instances**, the broker-officer must complete and sign the certification in Part III of this application.

Branch Office License — Submit a completed Branch Office Application (RE 203) for each branch office to be licensed.

Continuing Education — Evidence of continuing education (completed within the previous four years) will be required for the issuance of an officer license, if the officer-applicant does not have current individual broker status. For more details/information, refer to the *Instructions to License Applicants* pamphlet or Section 10171.5 of the Business and Professions Code.

Proof of Legal Presence — All applicants for a real estate salesperson, broker, or officer license, must submit proof that they are legally present in the United States. A proof of legal presence document (i.e. birth certificate, resident alien card, etc.) and a State Public Benefits Statement (RE 205) must be submitted before a license will be issued. Please refer to that form for further instructions.

COMPLETION INSTRUCTIONS FOR SECTION I

Note: Any changes to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A) or Corporation License Application (RE 201) for substitution or adding an additional broker-officer.

- 1A Answer licensing question and complete 1B and 1C, if you answered YES.
- 2 **Corporation Name & ID** — Enter the complete name of corporation as shown on the Certificate of Status. If a foreign

corporation, enter the name as the corporation will be licensed in California.

Enter **either** the California Secretary of State's identification number (as shown on the Articles of Incorporation) in Item 2B; **or** enter the federal taxpayer identification number in Item 2C.

- 3 **Mailing Address** — Enter the mailing address of the corporation. All mail sent by DRE will be delivered to this address. Note: Business and license mailing addresses are public information and as such are posted on the Internet and available from DRE via telephone and written requests. Please consider this when identifying a license mailing address.
- 4 **Main Office Address** — Enter the primary place of business of the corporation (must be a California address).
- 5 **Fictitious Business Name** — Enter the name exactly as it appears on the Fictitious Business Name Statement (FBNS) as filed with the county clerk. The DBA must be filed in the county of the corporation's main office address.
 - Prior to filing your FBNS with the county, you may wish to contact a local DRE district office, or check our Web site at www.dre.ca.gov to determine if the name is already in use by another broker.
 - Submit a copy of the FBNS with the "filed stamp" from the county clerk's office.
 - The corporation's name must appear as a registrant on the FBNS.

COMPLETION INSTRUCTIONS FOR SECTION II

- 1 Answer licensing question and complete 1B–1D, if you answered YES.
- 2 **Name of Broker-Officer** — Enter the complete name of the broker-officer to be licensed.
- 3 **Social Security Number** — Your SSN is mandatory. Refer to Privacy Notice on page 5.
- 4 **Birth Date** — Enter your birth date.
- 5 **Corporate Officer Title** — Enter the official title (e.g., president, vice president, etc.) held within the corporation. "Broker of record" is not sufficient. The designated officer must be an official corporate officer.
- 6 **Type of Broker-Officer License Requested** — Check the appropriate box. Note: If "additional broker-officer" checked, submit appropriate fee. If "substitution of current designated broker-officer" checked, attach resignation of former designated officer or Resolution of Board indicating that employment has been terminated.
- 7-8 **Brokering Loans** — Check the appropriate box.
- 9 **California Residence** — Check the appropriate response.

Non-California Residents — If residing outside the State of California, a *notarized* Consent To Service of Process (RE 234) is also required, if not already on file.
- 10-12 **Business, Residence, & Cell Phone Telephone Numbers** — Enter the area code and phone numbers.
- 13 **Email Address** — Enter email address.
 - Questions 14–29 must be answered and fully explained. Insuf-

ficient or no explanations will result in a significant delay in processing your license application.

- Read **Officer Certification**; then sign line #30, date #31, and type the name of the person signing #32.

COMPLETION INSTRUCTIONS FOR SECTION III

- Read **Regulation 2746**; type the name of corporation on line #33, sign #34, and date #35.
- **Note** — At least one box must be checked in the certification section.

FINGERPRINT INFORMATION

One set of classifiable electronic fingerprints is required from every real estate license applicant unless the applicant is currently licensed or has held a California real estate license which expired during the past two years. Fingerprints must be submitted through the California Department of Justice (DOJ) Live Scan Program which involves the electronic taking and transmission of fingerprints to DOJ. This process is completed by a live scan service provider as noted below.

Completion of Live Scan Service Request (RE 237)

The following information must be entered in Parts 1 and 2 on RE 237:

- Application type.
- Your printed name.
- Date and place of birth, aliases (if any), height, weight, gender, hair and eye color, drivers license number, social security number and home address.
- The electronic fingerprint service provider will complete Part 4 of the form.

Submission of Fingerprint Form

After you have your fingerprints taken by the live scan service provider, a copy of this form, with Part 4 completed, must be submitted with your completed original license application and the appropriate license fee.

Fees

Effective July 1, 2001, original license applicants who reside in California will pay a \$51 fingerprint processing directly to the live scan fingerprint service provider. A separate fee will be charged for the service of taking the electronic fingerprints by the live scan provider. That fee may vary slightly depending on the live scan provider you choose.

Fingerprint Services (Contact the facility for fees and hours)

If you are applying for your original license, a listing of live scan

service providers can be reviewed by checking the Web site of the California Department of Justice at <http://caag.state.ca.us/fingerprints/publications/contact.htm>. A link to this Web site can also be found in the "Links" section of the DRE Web site, www.dre.ca.gov/links_sub.htm.

Out-of-State Applicants

Applicants who reside outside California must submit two sets of fingerprints in ink using the FBI Applicant Fingerprint Card (FD-258 Rev. 5/99). Two cards will be provided to out-of-state license applicants with the original license application. The \$56 fingerprint processing fee should be submitted with the completed fingerprint cards, original license application, and license fee.

FEES AND MAILING INFORMATION

Fees — Refer to Exam & Licensing Fees (RE 206) for current fee schedule.

Acceptable payment methods — cashiers' check, money order, check or credit card.

- Make check or money order payable to:
Department of Real Estate
- Credit card payments must be submitted with a Credit Card Payment (RE 909) form.

Mail to: Department of Real Estate
P.O. Box 187004
Sacramento, CA 95818-7004

NOTICE ABOUT SAFE ACT

All DRE real estate licensees who conduct residential mortgage loan activities, as outlined in the federal SAFE Act, must obtain a mortgage loan originator (MLO) license endorsement in order to perform these types of activities (SB 36, Calderon, Chapter 160, Statutes of 2009). MLO license endorsement applications must be submitted through the Nationwide Mortgage Licensing System & Registry (NMLS) and applicants must successfully complete the National and California State specific examinations, submit a MLO license endorsement filing through NMLS and pay required license endorsement fees, submit fingerprints to NMLS, satisfy the 20 hour pre-license education requirement, and submit authorization for NMLS to obtain a credit report. All MLO license endorsements expire on December 31st and must be renewed annually by submitting a renewal filing through NMLS along with the appropriate fees, and evidence of completion of 8 hours of continuing education, as specified. Detailed information regarding obtaining a MLO license endorsement can be found on our Web site.

PRIVACY INFORMATION:

Section 1798.17 of the Civil Code requires this notice be provided when collecting personal or confidential information from individuals. Each individual has the right to review personal information maintained by this Agency, unless access is exempted by law.

Department of Real Estate Managing Deputy Comm. IV
2201 Broadway Licensing, Examinations, & Education
Sacramento, CA 95818 Telephone: 877-373-4542

General powers of the Commissioner, Sections 10050, 10071, and 10075 of the Business and Professions Code authorizes the maintenance of this information.

Business and Professions Code Sections 30, 31(e) and 494.5(d) require each real estate licensee to initially provide to the Department of Real Estate his or her social security number which will be furnished to the Franchise Tax Board. The Franchise Tax Board will use your number

to establish identification exclusively for tax purposes. These code sections also require that each application for a new license or renewal provides notification on the application, that the Board of Equalization and the Franchise Tax Board will share taxpayer information with the Department of Real Estate, and that failure to pay tax obligations may result in a suspension or denial of a license. The Board of Equalization and Franchise Tax Board require the Department to collect social security numbers and federal taxpayer identification numbers for the purposes of matching the names of the 500 largest tax delinquencies pursuant to Section 7063 or 19195 of the Revenue and Taxation Code. Your social security numbers and federal taxpayer identification number shall not be deemed public records and shall not be open to the public for inspection.

The Real Estate Law and the Regulations of the Commissioner require applicants to provide the Department with specific information. If all

or any part of the required information is not provided, processing may be delayed. In addition, the Commissioner may suspend or revoke a license, or in the case of a license applicant, may deny the issuance for misstatements of facts (including a failure to disclose a material fact) in an application for a license.

The information requested in this form is primarily used to furnish license status information to the Department's Enforcement Section, and to answer inquiries and give information to the public on license status, mailing and business addresses and actions taken to deny, revoke, restrict or suspend licenses for cause.

This information may be transferred to real estate licensing agencies in other states, law enforcement agencies (City Police, Sheriff's Departments, District Attorneys, Attorney General, F.B.I.), and any other regulatory agencies (i.e., Department of Corporations, Department of Insurance, Department of Consumer Affairs, California Bar Association).

**CORPORATE LICENSE INSTRUCTIONS**

RE 218 (Rev. 6/09)

P.O. Box 187004
Sacramento, CA 95818-7004
Telephone: 877-373-4542**GENERAL INFORMATION**

- This form discusses briefly how to license a corporation as a real estate broker and how to make changes once the corporation is licensed.
- The following forms are referenced in this instruction sheet:

Corporation License Application	RE 201
Branch Office Application	RE 203
Corporation Change Application	RE 204A
Examination & Licensing Fees	RE 206
Certification (Assignment of Supervisory Responsibility)	RE 210
Corporation Background Statement	RE 212
Salesperson Change Application	RE 214
Request for Duplicate License	RE 225
- Business and license mailing addresses are public information and as such are posted on the Internet and available from DRE via telephone and written requests. Please consider this when identifying a license mailing address.

LICENSING A CORPORATION AS A REAL ESTATE BROKER

There are no provisions in the Business and Professions (B&P) Code which authorize a limited liability company to become licensed as a real estate broker.

Refer to: Sections 10158, 10159, 10159.2, 10170.5 10180, and 10211 of the (B&P) Code. Sections 2740 through 2746 of the Commissioner's Regulations.

When a corporation wishes to act as a real estate broker, the firm must be licensed by the Department of Real Estate (DRE) through qualified broker-officers, who have either passed the broker license examination and are now qualified to obtain a broker license, or who are currently licensed as real estate brokers.

Note: A license as an individual broker and a license as a broker-officer are **separate entities** and the status is not transferable from one to the other. The status as a broker-officer of one corporation is not transferable to being a broker-officer of another corporation.

Fee and Applications Required

- **License Fee** — A license fee is required for *each* broker-officer to be licensed with the corporation. Refer to RE 206 for current fees.
- A **Corporation License Application** (RE 201) must be completed by the designated broker-officer applicant and each broker-officer who is to act for and on behalf of the corporation.
- **Corporation Background Statement** (RE 212) – Regulation 2746 requires the designated officer who obtains the original corporation license to file an RE 212 for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, **only** if such

a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is not needed. In all instances, the broker-officer must complete and sign the certification in Section III of RE 201.

- **Certificate of Status** — A corporation not currently licensed by this Department must include a Certificate of Status from the California Secretary of State. The certificate must be executed no more than thirty days prior to the date the application is submitted to our office. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the Articles were filed with the Secretary of State within six months preceding the date the application is submitted to DRE. If the firm is not incorporated in California, either a Certificate of Qualification or Certificate of Foreign Corporation from the California Secretary of State is required and must be executed no more than thirty days prior to the date the application is submitted to our office.
 - **Fictitious Business Name** — If the firm intends to use any name other than its own to conduct real estate business, submit a filed copy of the Fictitious Business Name Statement filed on behalf of the corporation. This document is obtained from the County Clerk's Office where the firm's principal place of business is located.
 - **Branch Office** — To be licensed with a branch office complete and submit an RE 203.
 - **Proof of Legal Presence** — Effective August 1, 1998, all real estate salesperson, broker, officer, and mineral, oil and gas broker licensees, must submit proof that they have legal presence in the United States before a renewal license can be issued. A proof of legal presence document (i.e., birth certificate, resident alien card, etc.) must be submitted by renewal applicants with a State Public Benefits Statement (RE 205). Please refer to that form for further instructions and information.
- If you have submitted proof of citizenship, or permanent resident alien status, since August 1, 1998, you will not be required to submit that information again. If you have only submitted evidence that you are a resident alien with temporary status, you must submit proof of legal presence with this application.
- **Salespersons** — An RE 214 is required for each salesperson to be employed by the corporation.

**GENERAL INFORMATION
NEW & CURRENTLY LICENSED CORPORATIONS**

Assignment of Supervisory Responsibility — Section 10159.2 B&P Code permits the assignment of supervisory duties to licensed broker-officers, other than the broker-officer so designated pursuant to Section 10211 B&P, by resolution of the Board of Directors. Complete and submit an RE 210 and a copy of the resolution adopted by the Board of Directors to this Department. **Do not** submit RE 210 if the corporation has only one licensed broker-officer.

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RECORD CHANGES

AFTER THE CORPORATION HAS BEEN LICENSED

Commissioner's Regulation 2746 requires corporations to file an RE 212 whenever there is an addition or a change in corporation officers or a natural person owning or controlling more than ten percent of the corporation shares, *if* such a person has been the subject of any of the items enumerated in the regulation.

Broker-Officer Changes

- **Substitution of designated broker-officer with a new officer** Only the designated broker-officer of a corporation may be replaced by another qualified broker during the licensed period. This may be accomplished by submitting an RE 201 from the new officer *and* either a copy of the personally signed resignation of the broker-officer leaving the firm, a copy of the Resolution of the Board bearing the corporate seal indicating this severance, *or* a signed statement providing the date of death of the currently licensed designated broker-officer. A licensed certificate will then be issued to the new broker-officer for the balance of the licensed period.

To keep the corporation continuously licensed with the Department, both the RE 201 and the resignation of the former broker-officer must be received in the same package. If all necessary documents are properly completed and in order, the effective date of the substitution on the records will be the received date of the package. If these documents are not received together, the licenses of the corporation and its branch offices will be cancelled and the working status of all salespersons will be terminated.

Note: No fee is required when the new officer is completing the balance of the license period.

- **Adding "additional" broker-officers** — Additional broker-officers may be licensed upon receipt of a completed RE 201 and the current license fee. Refer to RE 206 for current fees. Indicate on the application that the applicant is to be an "additional" broker-officer.
- **Adding a new officer to be the designated broker-officer and the current designated officer is remaining as an "additional" broker-officer** — A new broker-officer may be licensed as the designated broker-officer upon receipt of a completed RE 201, a license fee, and a personally signed statement from the current designated officer indicating that he will remain with the corporation as an "additional" broker-officer. If a new broker-officer applicant has passed the broker examination, but not applied for a license, and is substituting for a currently licensed broker officer, a license fee is required. (A fingerprint processing fee may also be required if the applicant has not held a real estate license in the previous two years.) Branch licenses will be reissued to match the term of the new "designated" broker-officer.

Note: A late fee must be submitted if an officer substitution is requested and the corporation license has expired or if the new designated broker does not have current valid broker license status. If an additional officer license is requested, a late fee must be submitted if the additional officer applicant does not have current valid broker license status. Refer to RE 206 for current fees.

- **Change of designated broker-officer with another currently licensed broker-officer** — Submit a completed RE 204A. No new license certificate will be issued to either broker-officer. However, if the license terms differ, new branch office licenses will be issued.

Note: The expiration date of the corporation is always the same as that of the designated officer. One license is issued for the corporation and the designated broker-officer.

To Change a Main Office Address or Mailing Address

Submit a completed RE 204A signed by a licensed broker-officer.

To Add or Delete a Fictitious Business Name

Submit a completed RE 204A signed by a licensed broker-officer.

Note: For additions also submit a filed copy of the Fictitious Business Name Statement filed on behalf of the corporation in the county of the main office.

Change of Corporation Name

Submit a completed RE 204A and the amended Articles of Incorporation or amended name statement by a foreign corporation reflecting the name change and bearing the endorsed or filed stamp of the California Secretary of State. If currently licensed with a DBA, a copy of the filed Fictitious Business Name Statement reflecting the new corporate name as registrant must be submitted.

Reactivating an Expired Corporation

Submit a completed RE 201, Certificate of Status from the Secretary of State, and a late fee. Refer to RE 206 for current fees.

How to Cancel a Corporation

To cancel a corporation which is no longer conducting business for which a real estate license is required, submit a letter signed by *all* licensed broker-officers indicating that it is no longer conducting business. Upon cancellation of the corporate license, the working status of all salespersons licensed to the corporation will be terminated and all branch offices cancelled.

Cancelling An Additional Officer

To cancel an "additional" broker-officer who is no longer conducting business on behalf of the corporation submit a personally signed letter of cancellation from the broker-officer, or a copy of the Resolution of the Board indicating the severance.

Re-Activating A Cancelled Corporation

Submit a completed RE 204A if the corporation is being reactivated by the previously licensed designated broker officer. Submit a completed RE 204A and RE 201 if the corporation is being reactivated by a *new* designated broker-officer.

Duplicate License

To request a duplicate license, submit a completed RE 225 signed by a licensed officer along with a \$15 fee.

eLicensing

Licensees can perform the following transactions using the *eLicensing* system at www.dre.ca.gov:

- Broker and salesperson renewals
- Duplicate license requests (broker, salesperson, officer and branch)
- Salesperson additions/changes of employing broker
- Broker discontinuation of salesperson employment
- Mailing address changes
- Broker main office address addition/changes
- Automated fee payment and processing